




| FORM PTO-1449 (REV. 7-80) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. COS94041C1 | SERIAL NO. NOT ASSIGNED | | |
|---|--------------------|---|-------------------|------------------------------------|--------------------------------|---------------------------------|----|
| LIST OF DOCUMENTS CITED BY APPLICANT (Use several sheets if necessary) | | | | APPLICANT(S): Gavan et al. | | | |
| | | | | FILING DATE July 24, 2003 | GROUP NOT ASSIGNED | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| * EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) | |
| CA ↓ CA | 4,002,848 | 01/1997 | Stein | | | | |
| | 4,154,983 | 05/1979 | Pedersen | | | | |
| | 4,464,543 | 08/1984 | Kline et al. | | | | |
| | 4,805,209 | 02/1989 | Baker, Jr. et al. | | | | |
| | 5,048,079 | 09/1991 | Harrington et al. | | | | |
| | 5,003,584 | 03/1991 | Benyacar et al. | | | | |
| | 5,159,698 | 10/1992 | Harrington et al. | | | | |
| | 5,233,642 | 08/1993 | Renton | | | | |
| | 5,263,120 | 11/1993 | Bickel | | | | |
| | 5,291,547 | 03/1994 | Boatwright et al. | | | | |
| | 5,311,572 | 05/1994 | Friedes et al. | | | | |
| | 5,313,641 | 05/1994 | Simcoe et al. | | | | |
| | 5,325,290 | 06/1994 | Cauffman et al. | | | | |
| | 5,327,144 | 07/1994 | Stilp et al. | | | | |
| | 5,335,278 | 08/1994 | Matchett et al. | | | | |
| 5,345,595 | 09/1994 | Johnson et al. | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | |
| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | YES | NO |
| CA | 96/31043 | 10/1996 | WO | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
| CA | | Curet, O., The application of case-based reasoning to assist accountant in identifying top management fraud: a study of the problem domain and the methodological issues in the development, implementation and evaluation of a case-based learning and reasoning tool, Case Based Reasoning: Prospects for Applications, IEE Colloquium on, 1995, Pages: 8/1-8/4 | | | | | |
| ↓ | | Garner, B.; Chen, F., Hypothesis generation paradigm for fraud detection, TENCON '94. IEEE Region 10's Ninth Annual International Conference. Theme: Frontiers of Computer Technology Proceedings of 1994, 22-26 Aug. 1994, Pages 197-201 vol. 1 | | | | | |
| CA | | Fawett, T., "Adaptive Fraud Detection", Journal of Data Mining and Knowledge Discovery, Copyright 1997, Kluwer Academic Publishers, Norwell, MA, Vol. 1 1997, pp. 291-316 | | | | | |
| EXAMINER | | | | DATE CONSIDERED | | | |
| /Charles Agwumezie/ | | | | 12/04/2006 | | | |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | |

| | | | | | | | |
|---|--|---|---------|------------------------------------|--------------------------------|----------|---------------------------------|
| FORM PTO-1449 (REV. 7-80) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. COS94041C1 | SERIAL NO. NOT ASSIGNED | | |
| LIST OF DOCUMENTS CITED BY APPLICANT <i>(Use several sheets if necessary)</i> | | | | APPLICANT(S): Gavan et al. | | | |
| | | | | FILING DATE July 24, 2003 | GROUP NOT ASSIGNED | | |
| | | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| * EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
| CA  | | 5,375,244 | 12/1994 | McNair | | | |
| | | 5,418,844 | 05/1995 | Morrissey et al. | | | |
| | | 5,432,845 | 07/1995 | Burd et al. | | | |
| | | 5,463,681 | 10/1995 | Vaios et al. | | | |
| | | 5,475,746 | 12/1995 | Miller et al. | | | |
| | | 5,495,521 | 02/1996 | Rangachar | | | |
| | | 5,504,810 | 04/1996 | McNair | | | |
| | | 5,506,893 | 04/1996 | Buscher et al. | | | |
| | | 5,515,425 | 05/1996 | Penzias et al. | | | |
| | | 5,515,427 | 05/1996 | Carlsen et al. | | | |
| | | 5,517,555 | 05/1996 | Amadon et al. | | | |
| | | 5,574,782 | 11/1996 | Baird et al. | | | |
| | | 5,586,175 | 12/1996 | Hogan et al. | | | |
| | | 5,592,530 | 01/1997 | Brockman et al. | | | |
| | | 5,596,632 | 01/1997 | Curtis et al. | | | |
| CA | | 5,602,906 | 02/1997 | Phelps | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | |
| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i> | | | | | | | |
| CA | | Scarfe, R.T.; Shortland, R.J., Data Mining Applications in BT, Knowledge Discovery in Databases, [IEE Colloquium on], 1995, Pages 5/1-5/4 | | | | | |
|  | | Sternberg, M.; Reynolds, R.G., Using cultural algorithms to support re-engineering of rule-based expert systems in dynamic performance environments: a case study in fraud detection, Evolutionary Computation, IEEE Transactions on, Volume: 14, Nov. 1997, Pages: 225-243 | | | | | |
| | | Watkins, P.R.; Lin, T.W.; O'Leary, D.E., AI integration for enhanced decision support, Systems Sciences, 1992. Proceedings of the Twenty-Fifth Hawaii International Conference on, Volume: III, 7-10 Jan. 1992, Pages(s): 133-144 vol. 3 | | | | | |
| | | META Group, Inc. "Advanced Information Management", August 29, 1994. | | | | | |
| CA | | Calem, Robert E., "To Catch A Thief" Forbes ASAP, pp. 44-45, date unknown | | | | | |
| EXAMINER /Charles Agwumezie/ | | | | DATE CONSIDERED 12/04/2006 | | | |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | |

| | | | | | | | | |
|--|--|--|---------|------------------------------------|--------------------------------|-----------------------|---------------------------------|----|
| FORM PTO-1449 (REV. 7-80) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. COS94041C1 | SERIAL NO. NOT ASSIGNED | | | |
| LIST OF DOCUMENTS CITED BY APPLICANT <i>(Use several sheets if necessary)</i> | | | | APPLICANT(S): Gavan et al. | | | | |
| | | | | FILING DATE July 24, 2003 | | GROUP NOT ASSIGNED | | |
| | | | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | |
| * EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) | |
| CA | | 5,606,600 | 02/1997 | Elliot et al. | | | | |
|  | | 5,627,886 | 05/1997 | Bowman | | | | |
| | | 5,640,446 | 06/1997 | Everett et al. | | | | |
| | | 5,768,354 | 06/1998 | Lange et al. | | | | |
| | | 5,790,645 | 08/1998 | Fawcett et al. | | | | |
| | | 5,805,686 | 09/1998 | Moller et al. | | | | |
| | | 5,854,834 | 12/1998 | Gottlieb et al. | | | | |
| | | 5,875,236 | 02/1999 | Jankowitz et al. | | | | |
| | | 5,907,602 | 05/1999 | Peel et al. | | | | |
| | | 5,963,625 | 10/1999 | Kawecki et al. | | | | |
| | | 6,208,720 | 03/2001 | Curtis et al. | | | | |
| CA | | | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | |
| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | | YES | NO |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i> | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| EXAMINER | | | | DATE CONSIDERED | | | | |
| /Charles Agwumezie/ | | | | 12/04/2006 | | | | |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | |

IDS - 03/14/2019 ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

**Title of
Invention****System, Method and Computer Program Product for Processing
Event Records**

Application Number : 10/627033
Confirmation Number: 3709
First Named Applicant: John Gavan
Attorney Docket Number: COS94041C1
Art Unit:
Examiner:
Search string: (6601048 or 6732082),pn

**US Patent Documents****Note: Applicant is not required to submit a paper copy of cited US Patent Documents**

| init | Cite.No. | Patent No. | Date | Patentee | Kind | Class | Subclass |
|------|----------|------------|------------|--------------|------|-------|----------|
| CA | 1 | 6601048 | 2003-07-29 | Gavan et al. | | | |
| CA | 2 | 6732082 | 2004-05-04 | Gavan et al. | | | |

Signature

| Examiner Name | Date |
|---------------------|------------|
| /Charles Agwumezie/ | 12/04/2006 |